

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15
Quarterly Report (Q1)☐ July 15
Quarterly Report (Q2)☐ October 15
Quarterly Report (Q3)☐ January 31
Year-End Report (YE)☐ July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐ Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☒ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the
State of

5. Covering Period

M M M /

D D D /

Y Y Y Y Y Y Y Y

through

M M M /

D D D /

Y Y Y Y Y Y Y Y

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M /

D D D /

Y Y Y Y Y Y Y Y

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office
Use
Only**FEC FORM 3X**
Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y
11 / 01 / 2011 To: M M / D D / Y Y Y Y Y Y
11 / 30 / 2011

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y Y 2011		256466.58
(b) Cash on Hand at Beginning of Reporting Period.....	234422.06	
(c) Total Receipts (from Line 19)	38060.56	202774.53
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	272482.62	459241.11
7. Total Disbursements (from Line 31)	25982.30	212740.79
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	246500.32	246500.32
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE

of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

 M M / D D / Y Y Y Y Y
 11 / 01 / 2011

To:

 M M / D D / Y Y Y Y Y
 11 / 30 / 2011
I. Receipts
COLUMN A
Total This Period
COLUMN B
Calendar Year-to-Date

11. Contributions (other than loans) From:

(a) Individuals/Persons Other

Than Political Committees

(i) Itemized (use Schedule A).....

30243.21

149958.45

(ii) Unitemized

7350.00

15329.15

(iii) TOTAL (add

Lines 11(a)(i) and (ii)..... ▶

37593.21

165287.60

(b) Political Party Committees

0.00

0.00

(c) Other Political Committees

(such as PACs).....

0.00

30500.00

(d) Total Contributions (add Lines

11(a)(iii), (b), and (c)) (Carry

Totals to Line 33, page 5)

37593.21

195787.60

12. Transfers From Affiliated/Other

Party Committees.....

0.00

0.00

13. All Loans Received

0.00

0.00

14. Loan Repayments Received.....

0.00

0.00

15. Offsets To Operating Expenditures

(Refunds, Rebates, etc.)

(Carry Totals to Line 37, page 5).....

0.00

1020.60

16. Refunds of Contributions Made

to Federal Candidates and Other

Political Committees.....

0.00

5000.00

17. Other Federal Receipts

(Dividends, Interest, etc.).....

467.35

966.33

18. Transfers from Non-Federal and Levin Funds

(a) Non-Federal Account

(from Schedule H3)

0.00

0.00

(b) Levin Funds (from Schedule H5)

0.00

0.00

(c) Total Transfers (add 18(a) and 18(b))..

0.00

0.00

19. Total Receipts (add Lines 11(d),
12, 13, 14, 15, 16, 17, and 18(c))..... ▶

38060.56

202774.53

20. Total Federal Receipts

(subtract Line 18(c) from Line 19)

38060.56

202774.53

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	482.30	2001.88
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	482.30	2001.88
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	25500.00	210500.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	238.91
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	25982.30	212740.79
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	25982.30	212740.79

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	37593.21	195787.60
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	37593.21	195787.60
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ►	482.30	2001.88
37. Offsets to Operating Expenditures (from Line 15, page 3).....	0.00	1020.60
38. Net Operating Expenditures (subtract Line 37 from Line 36) ►	482.30	981.28

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 OF 40
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Mark G Thompson

Mailing Address 3155 Hilliard Court

City

Melbourne

State

FL

Zip Code

32934-8316

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President CFP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 01 / 2011

Transaction ID : 19509947

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Todd D. Knickerbocker

Mailing Address 17386 Stonebrook Drive

City

Northville

State

MI

Zip Code

48168-4325

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

350.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19509948

Amount of Each Receipt this Period

350.00

Contribution

Full Name (Last, First, Middle Initial)

C. Ms. Michelle Church

Mailing Address 4821 West Boulevard

City

Naples

State

FL

Zip Code

34103-3047

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19509949

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1100.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 OF 40
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Daniel E. Butler

Mailing Address 900 Foulk Road
Suite 201

City State Zip Code
Wilmington DE 19803-3155

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19509952

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Thomas E. Nitti

Mailing Address 1621 Bahama Drive

City State Zip Code
Key West FL 33040-5227

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 03 / 2011

Transaction ID : 19509960

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Bruce E. Ploshay

Mailing Address 402 Spring Mill Lane

City State Zip Code
Indianapolis IN 46260-3527

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 04 / 2011

Transaction ID : 19509964

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 OF 40
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Thomas M. Walrond

Mailing Address 416 Vernon Road

City

Jenkintown

State

PA

Zip Code

19046-2844

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19524010

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Judith Singleton

Mailing Address 170 East Broadway Unit 100 D
Box 508

City

Jackson

State

WY

Zip Code

83001-0508

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Owner

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19525263

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Mark Saran

Mailing Address 1190 Mount Vernon

City

Lake Forest

State

IL

Zip Code

60045-3876

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532733

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

1250.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 9 OF 40

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Brock Guice

Mailing Address 2913 Leila Avenue

City
Tampa

State Zip Code
FL 33611-4418

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Manager, Finance and Administration

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532734

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Richard G. Averitt III

Mailing Address 6755 30th Street South

City
Saint Petersburg

State Zip Code
FL 33712-5519

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Chairman & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532737

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Paul A. Hack

Mailing Address 657 Greenwood Street

City
Birmingham

State Zip Code
MI 48009-3815

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532738

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

5500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 10 OF 40
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Boyd Nelson

Mailing Address 6101 Schooner WAY

City State Zip Code
Tampa FL 33615-3642

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532739

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Bella Loykhter Allaire

Mailing Address 300 Beach Drive

City State Zip Code
Saint Petersburg FL 33701-3482

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
EVP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532743

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. David Tanner

Mailing Address 1681 N 2000

City State Zip Code
Provo UT 84604-2296

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532744

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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FOR LINE NUMBER: PAGE 11 OF 40
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Jon Best

Mailing Address 401 S Main

City

Henderson

State

TX

Zip Code

75654-3542

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532750

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Frederick T. Greene

Mailing Address 43 Biscay Place

City

The Woodlands

State

TX

Zip Code

77381-6102

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Sr. VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532751

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Chad D. Andrews

Mailing Address 2090 Glen Oaks Drive

City

Coralville

State

IA

Zip Code

52241-3225

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 13 / 2011

Transaction ID : 19532752

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

750.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Shannon L. Smith

Mailing Address 4005 Mystic Lane

City

Nacogdoches

State

TX

Zip Code

75965-6516

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532754

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Anthony M. DeLuise

Mailing Address 400 East 84th Street
Apt 30A

City

New York

State

NY

Zip Code

10028-5612

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532756

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mark J. Smith

Mailing Address 9635 Maroon Circle, #230

City

Englewood

State

CO

Zip Code

80112-5927

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532762

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. John W. Houston

Mailing Address 546 14th Avenue NE

City

St. Petersburg

State

FL

Zip Code

33701-1315

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

SVP, Managing Director, FID

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

11 / 13 / 2011

Transaction ID : 19532767

Amount of Each Receipt this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Todd McCallister

Mailing Address 2156 Coffee Pot

City

Saint Petersburg

State

FL

Zip Code

33704-4650

FEC ID number of contributing
federal political committee.

C

Name of Employer

Eagle Asset Management

Occupation

Portfolio Manager

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19533783

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. John Keogh

Mailing Address 187 Earl Court

City

Grosse Pointe Farms

State

MI

Zip Code

48236-3013

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19533786

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

3000.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. William J. Wagner

Mailing Address 104 Martinique Place

City State Zip Code
Cary NC 27511-6482

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 04 / 2011

Transaction ID : 19533789

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Tracy Eichler

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 01 / 2011

Transaction ID : 19533793

Amount of Each Receipt this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Paul C. Reilly

Mailing Address 880 Carillon Parkway

City State Zip Code
Saint Petersburg FL 33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
Chief Executive Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

11 / 11 / 2011

Transaction ID : 19533799

Amount of Each Receipt this Period

2000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2750.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Mark Magee

Mailing Address 10 S. Riverside Plaza
Suite 1450

City State Zip Code
Chicago IL 60606

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James and Associates Inc

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
11 14 2011

Transaction ID : 19533815

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Edward Shobe

Mailing Address 8280 YMCA Plaza Drive
Bldg #4

City State Zip Code
Baton Rouge LA 70810-0927

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Chairman

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
11 14 2011

Transaction ID : 19533834

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Martin Kooman

Mailing Address 517 S Logan Blvd

City State Zip Code
Altoona PA 16602-5619

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Registered Principal

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
11 14 2011

Transaction ID : 19533835

Amount of Each Receipt this Period

1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

2250.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Richard P. Paulson

Mailing Address 268 Heritage Trail So.

City State Zip Code
 Bellville TX 77418

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19537040

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. John E. Thorsen

Mailing Address 3018 West Chester

City State Zip Code
 Orlando FL 32803-1038

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Sr. Vice Preseident

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19546155

Amount of Each Receipt this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Scott A. Barkow

Mailing Address 13421 S.W. 70th Avenue

City State Zip Code
 Miami FL 33156-6949

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19546158

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

3250.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546160

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

365.37

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546161

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

731.50

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546162

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

96.23

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4231.70

Date of Receipt

11 / 02 / 2011

Transaction ID : 19546163

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

B. Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

365.37

Date of Receipt

11 / 02 / 2011

Transaction ID : 19546164

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

693.00

Date of Receipt

11 / 02 / 2011

Transaction ID : 19546165

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

250.08

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1523.06

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546166

Amount of Each Receipt this Period

69.23

Full Name (Last, First, Middle Initial)

B. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2200.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546167

Amount of Each Receipt this Period

100.00

Full Name (Last, First, Middle Initial)

C. Mr. James McHale

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, Associate General C

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

365.37

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546168

Amount of Each Receipt this Period

19.23

SUBTOTAL of Receipts This Page (optional)..... ►

188.46

TOTAL This Period (last page this line number only)..... ►

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1232.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546169

Amount of Each Receipt this Period

77.00

Full Name (Last, First, Middle Initial)

B. Mr. Andrew DeSouza

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

212.30

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546170

Amount of Each Receipt this Period

9.65

Full Name (Last, First, Middle Initial)

C. Rob Gannon

Mailing Address 3 Higgins Road

City State Zip Code
Old Bridge NJ 08857-2749

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

202.65

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 02 / 2011

Transaction ID : 19546171

Amount of Each Receipt this Period

9.65

SUBTOTAL of Receipts This Page (optional)..... ►

96.30

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Michael C. Roney

Mailing Address 303 Weydon Road

City
Worthington

State Zip Code
OH 43085-3046

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
VP - Investments, WMS, IMC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 17 / 2011

Transaction ID : 19546173

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Erik Fruland

Mailing Address 6361 3rd Palm Point

City
St Pete Beach

State Zip Code
FL 33706-2121

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
VP, Asset Management Services Admin.

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 14 / 2011

Transaction ID : 19552053

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Anthony M. D'Andrea Jr.

Mailing Address 811 Sunset Mountain Drive

City
Chattanooga

State Zip Code
TN 37421-2099

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
VP - Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552060

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

750.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. William F. Burke Jr.

Mailing Address P.O. Box 390

City

Brookside

State

NJ

Zip Code

07926-0390

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Registered Principal

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552064

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Francis S. Godbold

Mailing Address 1625 Oceanview Drive

City

Tierra Verde

State

FL

Zip Code

33715-2501

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

Vice Chairman

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552071

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mr. Richard W. Basler

Mailing Address 2201 Mastodon Court

City

Imperial

State

MO

Zip Code

63052-1486

FEC ID number of contributing
federal political committee.

C

Name of Employer

Raymond James Financial, Inc.

Occupation

CFP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552075

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1500.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Robert Kreitler

Mailing Address 195 Church Street, 11th Floor

City State Zip Code
 New Haven CT 06510-2009

FEC ID number of contributing
federal political committee.

C

Name of Employer
 Raymond James Financial, Inc.

Occupation
 CFP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552076

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mr. Michael T. Ohlman

Mailing Address 805 137th Street E.

City State Zip Code
 Bradenton FL 34212-9232

FEC ID number of contributing
federal political committee.

C

Name of Employer
 Raymond James Financial, Inc.

Occupation
 Sr. VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552080

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

C. Mr. Thomas F Price

Mailing Address 120 Broadway
 35th Floor

City State Zip Code
 New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
 Securities Industry and Financial Mark

Occupation
 Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

885.50

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552082

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

1288.50

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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☒ 11a ☐ 11b ☐ 11c ☐ 12
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552083

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

B. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552084

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4424.05

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552085

Amount of Each Receipt this Period

192.35

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

250.08

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552086

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

B. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

731.50

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552087

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

C. Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1592.29

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552088

Amount of Each Receipt this Period

69.23

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

126.96

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2300.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552089

Amount of Each Receipt this Period

100.00

Full Name (Last, First, Middle Initial)

B. Mr. James McHale

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, Associate General C

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552090

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1309.00

Date of Receipt

11 / 16 / 2011

Transaction ID : 19552091

Amount of Each Receipt this Period

77.00

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

196.23

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Andrew DeSouza

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

221.95

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 16 / 2011

Transaction ID : 19552092

Amount of Each Receipt this Period

9.65

Full Name (Last, First, Middle Initial)

B. Rob Gannon

Mailing Address 3 Higgins Road

City State Zip Code
Old Bridge NJ 08857-2749

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

212.30

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 16 / 2011

Transaction ID : 19552093

Amount of Each Receipt this Period

9.65

Full Name (Last, First, Middle Initial)

C. Mr. J. Kenneth Long

Mailing Address 129 Stonewyck Drive

City State Zip Code
Lancaster PA 17603-9761

FEC ID number of contributing
federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
Branch Mgr.

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19555519

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

269.30

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lynn Phillips - Gaines

Mailing Address 104 W. Lampkin Street
Suite 2

City Starkville State MS Zip Code 39759-2837

FEC ID number of contributing federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
CFP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 30 / 2011

Transaction ID : 19555520

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

B. Ms. Nancy K. Caton

Mailing Address 605 Charles Van Damme Way

City Sonoma State CA Zip Code 95476-7230

FEC ID number of contributing federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 30 / 2011

Transaction ID : 19555522

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

C. Fred Ross

Mailing Address 335 Westerhall Ct.

City Atlanta State GA Zip Code 30328-1233

FEC ID number of contributing federal political committee.

C

Name of Employer
Raymond James Financial, Inc.

Occupation
Senior Vice President- Branch Manager

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

11 / 30 / 2011

Transaction ID : 19555963

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

750.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

924.00

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592473

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

B. Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592474

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M / D D / Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592475

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

96.23

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Mr. Kenneth E. Bentsen Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4616.40

Date of Receipt

11 / 30 / 2011

Transaction ID : 19592476

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

B. Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

11 / 30 / 2011

Transaction ID : 19592477

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

C. Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

11 / 30 / 2011

Transaction ID : 19592478

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)..... ►

250.08

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
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<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Marin E. GibsonMailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1661.52

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
11	/	30	/	2011

Transaction ID : 19592479

Amount of Each Receipt this Period

69.23

Full Name (Last, First, Middle Initial)

B. Mr. Carter McDowellMailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2400.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
11	/	30	/	2011

Transaction ID : 19592480

Amount of Each Receipt this Period

100.00

Full Name (Last, First, Middle Initial)

C. Mr. James McHaleMailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, Associate General C

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
11	/	30	/	2011

Transaction ID : 19592481

Amount of Each Receipt this Period

19.23

SUBTOTAL of Receipts This Page (optional)..... ►

188.46

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

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for each category of the
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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1386.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592482

Amount of Each Receipt this Period

77.00

Full Name (Last, First, Middle Initial)

B. Mr. Andrew DeSouza

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

231.60

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592483

Amount of Each Receipt this Period

9.65

Full Name (Last, First, Middle Initial)

C. Rob Gannon

Mailing Address 3 Higgins Road

City State Zip Code
Old Bridge NJ 08857-2749

FEC ID number of contributing
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

221.95

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 30 / 2011

Transaction ID : 19592484

Amount of Each Receipt this Period

9.65

SUBTOTAL of Receipts This Page (optional)..... ►

96.30

TOTAL This Period (last page this line number only)..... ►

30243.21

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1986.93

Date of Receipt

M M / D D / Y Y Y Y Y Y
11 / 18 / 2011

Transaction ID : 19546174

Amount of Each Receipt this Period

467.35

Reimbursement of bank fees

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

467.35

467.35

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
for each category of the
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(check only one)

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. pnc bank

Mailing Address P.O. Box 609

City Pittsburgh State PA Zip Code 15230

Purpose of Disbursement
Credit Card Fees

Candidate Name

Office Sought: ☐ House
☐ Senate
☐ President
State: District:Disbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y
11 / 07 / 2011**Transaction ID : 19603755**

Amount of Each Disbursement this Period

244.40

Credit Card Fees

Full Name (Last, First, Middle Initial)

B. pnc bank

Mailing Address P.O. Box 609

City Pittsburgh State PA Zip Code 15230

Purpose of Disbursement
Credit Card Fees

Candidate Name

Office Sought: ☐ House
☐ Senate
☐ President
State: District:Disbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y
11 / 28 / 2011**Transaction ID : 19603756**

Amount of Each Disbursement this Period

4.95

Credit Card Fees

Full Name (Last, First, Middle Initial)

C. pnc bank

Mailing Address P.O. Box 609

City Pittsburgh State PA Zip Code 15230

Purpose of Disbursement
Bank Fees

Candidate Name

Office Sought: ☐ House
☐ Senate
☐ President
State: District:Disbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y
11 / 02 / 2011**Transaction ID : 19603757**

Amount of Each Disbursement this Period

232.95

Bank Fees

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►482.30
482.30

SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
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Detailed Summary PageFOR LINE NUMBER:
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Hatch Election Committee

Mailing Address P.O. Box 1480

City	State	Zip Code
Washington	DC	20013

Purpose of Disbursement
Contribution

Candidate Name

Sen. Orrin G. Hatch

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2012

<input type="checkbox"/> Primary	<input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: UT District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		04		2011

Transaction ID : 19506987

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Jack Kingston

Mailing Address PO Box 2133

City	State	Zip Code
Savannah	GA	31402

Purpose of Disbursement
Contribution

Candidate Name

Rep. Jack Kingston

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2012

<input checked="" type="checkbox"/> Primary	<input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: GA District: 01

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		04		2011

Transaction ID : 19506988

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mike Crapo For Us Senate

Mailing Address P.O. Box 1948

City	State	Zip Code
Boise	ID	83701

Purpose of Disbursement
Contribution

Candidate Name

Sen. Mike Crapo

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016

<input checked="" type="checkbox"/> Primary	<input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: ID District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		04		2011

Transaction ID : 19506996

Amount of Each Disbursement this Period

2500.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

4500.00

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SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTSUse separate schedule(s)
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kenny Marchant For Congress

Mailing Address PO Box 110187

City	State	Zip Code
Carrollton	TX	75011

Purpose of Disbursement
Contribution

Candidate Name

Rep. Kenneth MarchantOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: TX District: 24

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537041

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Hagan Senate Committee Inc

Mailing Address PO Box 29103

City	State	Zip Code
Greensboro	NC	27429

Purpose of Disbursement
Contribution

Candidate Name

Kay HaganOffice Sought: ☐ House
☒ Senate
☐ PresidentDisbursement For: 2014
☒ Primary ☐ General
☐ Other (specify) ▼

State: NC District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537042

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Peters For Congress

Mailing Address PO Box 226

City	State	Zip Code
Bloomfield Hills	MI	48303

Purpose of Disbursement
Contribution

Candidate Name

Rep. Gary C. PetersOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: MI District: 09

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537043

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00

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SCHEDULE B (FEC Form 3X)
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends Of Jeb Hensarling

Mailing Address PO Box 820504

City	State	Zip Code
Dallas	TX	75382

Purpose of Disbursement
Contribution

Candidate Name

Rep. Jeb Hensarling

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
State: TX	District: 05	

011

Category/
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537044

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Roskam For Congress Committee

Mailing Address P. O. Box 713

City	State	Zip Code
Wheaton	IL	60187

Purpose of Disbursement
Contribution

Candidate Name

Rep. Peter Roskam

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
State: IL	District: 06	

011

Category/
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537045

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Richard E Neal For Congress Committee

Mailing Address 76 Magnolia Terrace

City	State	Zip Code
Springfield	MA	01108

Purpose of Disbursement
Contribution

Candidate Name

Rep. Richard E. Neal

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President	Disbursement For: 2012 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
State: MA	District: 02	

011

Category/
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537046

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
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(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Lynn Jenkins For Congress

Mailing Address P.O. Box 1441

City Topeka	State KS	Zip Code 66601
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Lynn JenkinsOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: KS District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537047

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Crowley For Congress

Mailing Address 84-56 Grand Avenue

City Elmhurst	State NY	Zip Code 11373
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Joseph CrowleyOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: NY District: 07

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537048

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Donald A. Manzullo For Congress

Mailing Address PO Box 7783

City Rockford	State IL	Zip Code 61126
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Donald A. ManzulloOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: IL District: 16

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537049

Amount of Each Disbursement this Period

1000.00

Contribution

SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends Of John Barrasso

Mailing Address PO Box 52008

City Casper	State WY	Zip Code 82605
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Purpose of Disbursement
Contribution

Candidate Name

Sen. John Barrasso

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2012
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: WY District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537053

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mchenry For Congress

Mailing Address PO Box 1406

City Hickory	State NC	Zip Code 28603
-----------------	-------------	-------------------

Purpose of Disbursement
Contribution

Candidate Name

Rep. Patrick Timothy McHenry

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2012
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NC District: 10

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537056

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Kline For CongressMailing Address 101 W Burnsville Pkwy Suite 104
Suite 104

City Burnsville	State MN	Zip Code 55337
--------------------	-------------	-------------------

Purpose of Disbursement
Contribution

Candidate Name

Rep. John P. Kline

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2012
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MN District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537058

Amount of Each Disbursement this Period

5000.00

Contribution

SUBTOTAL of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

8000.00

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**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Steve Fincher For Congress

Mailing Address PO Box 11153

City Jackson	State TN	Zip Code 38308
-----------------	-------------	-------------------

Purpose of Disbursement
Contribution

Candidate Name

Rep. Stephen FincherOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: TN District: 08

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537060

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Nan Hayworth

Mailing Address 51 Gleneida Avenue

City Carmel	State NY	Zip Code 10512
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Purpose of Disbursement
Contribution

Candidate Name

Rep. Nan HayworthOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: NY District: 19

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		16		2011

Transaction ID : 19537062

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City	State	Zip Code
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Purpose of Disbursement

Candidate Name

Office Sought: ☐ House
☐ Senate
☐ PresidentDisbursement For:
☐ Primary ☐ General
☐ Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
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Amount of Each Disbursement this Period

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SUBTOTAL of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

4000.00

25500.00
